



IFW

Docket No.: 4795-0102PUS2  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Jens Martin PAULSEN et al.

Application No.: 10/584,992

Confirmation No.: @@@

Filed: June 29, 2006

Art Unit: N/A

For: ELECTRODE ACTIVE MATERIAL POWDER  
WITH SIZE DEPENDENT COMPOSITION  
AND METHOD TO PREPARE THE SAME

Examiner: Not Yet Assigned

**INFORMATION DISCLOSURE STATEMENT**  
**(SUBMISSION AFTER FILING OF AN APPLICATION BUT BEFORE FINAL**  
**REJECTION OR NOTICE OF ALLOWANCE OR CONCURRENTLY WITH A RULE**  
**1.114 RCE APPLICATION)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-SB08(s), attached hereto.

II. COPIES

- ☒ a. Copies of cited U.S. patents and patent application publications are not included.  
Copies of foreign patent documents and non-patent literature are included.

Application No.: 10/584,992

Docket No.: 4795-0102PUS2

☐ b. Some or all of the documents listed on the PTO-SB08 are not enclosed because they were cited in the International Search Report and copies should already be in the PTO file. If copies are needed, please contact the undersigned.

☐ c. REFERENCES PREVIOUSLY CITED OR SUBMITTED - Pursuant to 37 C.F.R. §1.98(d), consideration of information listed on the PTO-SB08 form(s) is requested since any patents, publications, or other information which are listed on the PTO-SB08 form(s) but for which copies are not enclosed herewith, were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Appl. No(s) and U.S. Filing Date

### III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

☒ a. DOCUMENTS IN THE ENGLISH LANGUAGE - The patents, publications, or other information listed on the attached PTO SB08 are in the English language and therefore, do not require a statement of relevancy.

☐ b. DOCUMENTS NOT IN THE ENGLISH LANGUAGE - A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

☐ c. ENGLISH LANGUAGE SEARCH REPORT - An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(III)(A)(3).

☐ d. OTHER - The following additional information is provided for the Examiner's consideration.

Application No.: 10/584,992

Docket No.: 4795-0102PUS2

IV. FEES (check one box)

☐ a. This Information Disclosure Statement is being filed concurrently with the filing of a new patent application; therefore, no fee is required.

☐ b. This Information Disclosure Statement is being filed concurrent with the filing of a continuation-in-part, continuation, or divisional patent application; therefore, no fee is required.

☒ c. This Information Disclosure Statement is being filed within three months of the filing date of a national application (37 C.F.R. § 1.97(b)(1)). No fee or statement is required.  
(This section is not to be used with RCE's.)

☐ d. This Information Disclosure Statement is being filed within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or statement is required.

☐ e. This Information Disclosure Statement is being filed concurrently with the filing of a Request for Continued Examination under § 1.114 (37 C.F.R. § 1.97(b)(4)). No fee or statement is required.

☐ f. This Information Disclosure Statement is being filed before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or statement is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the statement under 37 C.F.R. § 1.97(e) below, or, if no statement has been made, charge our deposit account for the fee as required by 37 C.F.R. § 1.17(p).

☐ g. This Information Disclosure Statement is being filed before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c)(1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c)(2)).

☐ No statement; therefore, a fee as required by 37 C.F.R. § 1.17(p) is attached.

or

Application No.: 10/584,992

Docket No.: 4795-0102PUS2

☐ See the statement below. No fee is required.

V. STATEMENT UNDER 37 C.F.R. § 1.97(e)

(check only one box)

The undersigned hereby states that:

☐ a. Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than 30 days prior to the filing of this IDS; or

☐ b. Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

☐ c. No item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.

☐ d. Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VI. PAYMENT OF FEES (check one box)

Application No.: 10/584,992

Docket No.: 4795-0102PUS2

☐ The required fee is listed on the attached Fee Transmittal.

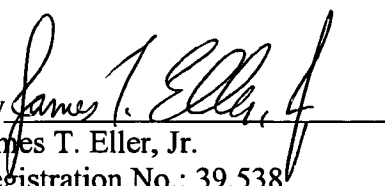
☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to our Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Dated: SEP - 1 2006

Respectfully submitted,

By   
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Attachment(s):

☒ PTO-SB08  
☒ Documents



PTO/SB/08a/b (07-05)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |   |                          |                     |
|---|---|--------------------------|---------------------|
| Substitute for form 1449A/B/PTO   |   | <b>Complete if Known</b> |                     |
|   |   | Application Number       | 10/584,992          |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |   | Filing Date              | June 29, 2006       |
|   |   | First Named Inventor     | Jens Martin PAULSEN |
|   |   | Art Unit                 | N/A                 |
|   |   | Examiner Name            | Not Yet Assigned    |
| Sheet   | 1 | of                       | 1                   |
|   |   | Attorney Docket Number   | 4795-0102PUS2       |

| U.S. PATENT DOCUMENTS |                       |   |                                |  |   |
|-----------------------|-----------------------|---|--------------------------------|--|---|
| Examiner Initials*    | Cite No. <sup>1</sup> | Document Number<br>Number+Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | AA*                   | US-2003/0108793-A1  | 06-12-2003                     | Dahn et al.  |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |   |   |                |
|--------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials *      | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|                          |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |   |   |                |
|                          |                       |   |                                |   |   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials               | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                 | CA                    | Yong Jeong Kim et al., Journal of The Electrochemical Society, 149 (10) pp.A1337-A1341 (2002)   |                |
|                                 | CB                    | Jaephil Cho et al., Journal of The Electrochemical Society, 149 (2), pp. A127-A132 (2002)   |                |
|                                 | CC                    | Jaephil Cho et al., Journal of The Electrochemical Society, 149 (3), pp. A288-A292 (2002)   |                |
|                                 | CD                    | Zhaohui Chen et al., Journal of The Electrochemical Society, 149 (12) pp. A1604-A1609 (2002)  |                |
|                                 | CE                    | Zhaohui Chen et al., Electrochemical and Solid-State Letters, 5 (10), pp. A213-A216 (2002)  |                |
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|                                 | CG                    | Jaephil Cho et al. Electrochemical and Solid-State Letters, 2 (6) pp. 253-255 (1999)  |                |
|                                 | CH                    | Jaephil Cho et al., Journal of The Electrochemical Society, 148 (10), pp. A1110-A1115 (2001)  |                |
|                                 | CI                    | Jaephil Cho et al., Electrochemical and Solid-State Letters, 3 (8) pp.362-365 (2000)  |                |
|                                 | CJ                    | Jaephil Cho et al., Electrochemical and Solid-State Letters, 4 (10), pp. A159-A161 (2001)   |                |
|                                 | CK                    | Zhaoxiang Wang et al., Journal of The Electrochemical Society, 149 (4), pp. A466-A471 (2002)  |                |
|                                 | CL                    | Jaephil Cho, Solid State Ionics, 160, (2003), pp. 241-245   |                |
|                                 | CM                    | Yabuuchi et al., Journal of Powers Sources 119-121 (2003) pp. 171-174   |                |
|                                 | CN                    | S. Jouanneau et al., Journal of The Electrochemical Society, 150 (10), pp. A1299-A1304 (2003)   |                |
|                                 | CO                    | Zhonghua Lu et al., Journal of The Electrochemical Society, 149 (6), pp. A778-A791 (2002)   |                |
|                                 | CP                    | Zhaohui Chen et al., Solid- State Letters, 7 (1), pp. 16 (2002)   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

|                    |                              |                 |            |
|--------------------|------------------------------|-----------------|------------|
| Examiner Signature | /Monique Wills/ (03/26/2010) | Date Considered | 03/26/2010 |
|--------------------|------------------------------|-----------------|------------|

Birch, Stewart, Kolasch &amp; Birch, LLP

JTE/ta

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.W./